



## HOW TO UPLOAD AUTHORIZED AGENTS

The Uniform Authorized Agent Reporting (UAAR) process described in this quick guide is only relevant to companies that hold a money transmitter or money service business license through NMLS. Some companies are required to report authorized agents to their regulator, while others provided the option to report. Consult the [list of participating agencies](#) and/or state regulators to determine if a company must complete this process.

The UAAR process has licensees upload a single file every quarter regardless of the number states to which they are reporting. The file contains all additions, terminations, and amendments to their agent locations. Some states may require more frequent reporting.

### Resources and information needed prior to completing the steps below:

- [Authorized Agent Upload File and Results File Specifications](#)
- [Agent Upload File Template](#)
  - This template can easily be adjusted to be used as an upload file.
  - Once the file is in the correct searchable “.csv” format and does not exceed 10,000 rows, it is ready to be uploaded.
  - Multiple agent files may be uploaded if there are more than 10,000 rows.
  - If a company does not have any agent locations to report, the system provides options to report this status.

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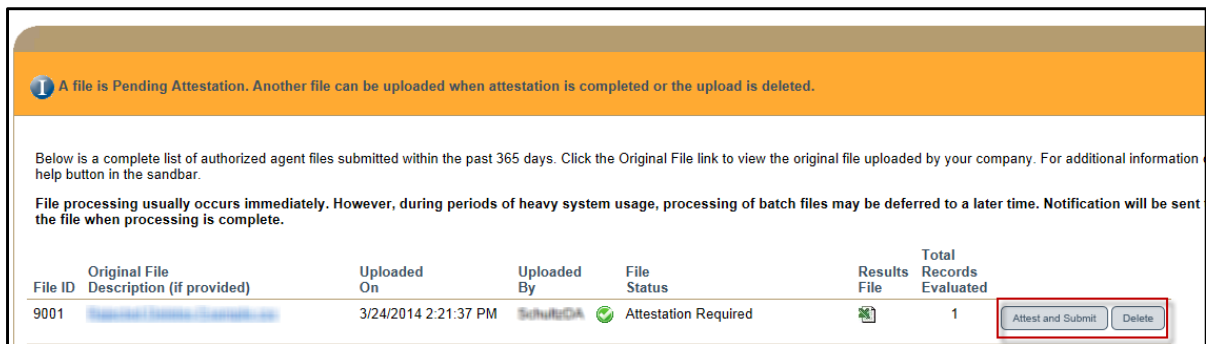
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## Completing Initial Authorized Agents Upload

1. Navigate to the [NMLS Resource Center](#).
2. Click **Log in to NMLS** in the upper right corner.
3. Select the **State** context and log in to NMLS.
4. Click the **Tasks** tab.
5. Click the **Manage Authorized Agents** in the sub-menu or the **Manage Authorized Agents** button in the center of the screen.
6. From the *Authorized Agents Home* screen, click the **Upload Agents** button.
7. From the *Authorized Agent Upload* screen, browse for the completed/populated Authorized Agent Upload File.
8. Enter any additional information in the *Description* data field (optional) and click the **Upload File** button.

**NOTE:** Entering a description may help differentiate between multiple upload files (150 character limit).

9. The file is then processed by the system to ensure the data format is correct and the addresses are valid.
10. If the file is successfully validated, it must be attested to prior to submission to the regulator. To attest to the file, click the **Attest and Submit** button (see below). To delete the file, and not submit to the regulator, click the **Delete** button.



1 A file is Pending Attestation. Another file can be uploaded when attestation is completed or the upload is deleted.

Below is a complete list of authorized agent files submitted within the past 365 days. Click the Original File link to view the original file uploaded by your company. For additional information help button in the sandbar.

File processing usually occurs immediately. However, during periods of heavy system usage, processing of batch files may be deferred to a later time. Notification will be sent the file when processing is complete.

File ID	Original File Description (if provided)	Uploaded On	Uploaded By	File Status	Results File	Total Records Evaluated	
9001	<a href="#">[Link]</a>	3/24/2014 2:21:37 PM	SCHULTZDA	Attestation Required		1	<input type="button" value="Attest and Submit"/> <input type="button" value="Delete"/>

Figure 1: Attestation Screen

**NOTE:** During validation, the system may standardize and adjust the addresses. Please review the results file prior to attesting to be aware of any system standardization adjustments. The uploaded file can only be attested to after a file has been fully validated by the system. There cannot be multiple outstanding attestations for upload files.

11. As the system processes the upload file, the Status displays as "In Progress" ( ).

**NOTE:** The webpage must be manually refreshed in order to view the results.

12. Once the file has been successfully uploaded, the user who uploaded the file is notified via email. In order for a file to be sent to the regulator, all Physical Addresses are submitted through an external Address Validation Service for verification and standardization.

**NOTE:** Companies may wish to verify Physical Addresses using a free address service or an existing address validation service currently in use by the company before uploading a file to NMLS. Identifying and correcting errors or discrepancies in advance avoids having to upload the file to NMLS multiple times.

### Viewing Authorized Agent Upload Results

Once a file has been uploaded, the system automatically displays the *Processed Authorized Agent List and Results* screen:






File ID	Original File Description (if provided)	Uploaded On	Uploaded By	Status	Results File	Total Records Evaluated
8856	<a href="#">AuthorizedAgent_List.csv</a>	1/10/2014 3:27:25 PM	AlvaradP	 In Progress		
8855	<a href="#">AuthorizedAgent_List.csv</a>	1/10/2014 3:14:52 PM	AlvaradP	 Failed Processing		5
8710	<a href="#">blank UAAR.csv</a>	11/25/2013 12:32:13 PM	AlvaradP	 Processed		0





Figure 2: Upload Results Screen

Click the  icon to review the Results File:

- Those upload files displaying as “*Processed*” contain all records that were uploaded by the company and validated by the address validation service.
- Those upload files displaying as “*Failed Processing*” contain records that did not pass validation and the corresponding error description sorted to the top of the file.

### Upload Status Chart

The following chart provides explanations for the statuses on the *Processed Authorized Agent List and Results* screen:

Status	Total Records Evaluated	Explanation
In Progress (  )	[blank]	File is currently being validated by the system.
Attestation Required (  )	[record count]	File has been validated and must be attested to prior to submission to regulator.
Processed and Submitted (  )	[record count]	File has been attested to and submitted to regulator.
Failed Processing - System Error (  )	“-“	No records in the file were processed due to an unexpected system error. Contact call NMLS call center.

Status	Total Records Evaluated	Explanation
Failed Processing - Invalid Format (⚠)	[record count]	No records in the file were processed due to invalid data format used. Refer to the Results File for errors.
Failed Processing - Invalid Address (⚠)	[record count]	No records in the file were processed due to invalid addresses found in the file. Refer to the Results File for error detail.

**NOTE:** Regulators will **only** receive those files listed as “Processed and Submitted”. Files displaying as “In Progress,” “Failed Processing,” or “Attestation Required” are not submitted to regulator(s).

### Resolving Errors from a Failed Upload

1. From the **Tasks** tab, click the **Manage Authorized Agents** link in the sub-menu or the **Manage Authorized Agents** button in the center of the screen.
2. Click the **View Processed File List** button.
3. For the “Failed Processing” file status, click the Results File icon (📄).
4. Review the results file, specifically the Error Description column (Column Z) to determine necessary edits.
  - a. View the [Error Codes](#) for suggested error resolutions.
5. Make edits in accordance with the Error Description column to the original file and save.
6. Re-upload the file using the steps found in the [Uploading Initial Authorized Agents](#) section of this guide (page 2).

### No Authorized Agents to Report

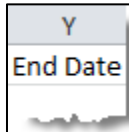
1. If your company does not any agents to report, click the **No Agents to Report** button when completing the initial report.
2. For subsequent reporting periods, select the **No Changes to Report** button.

## Amending Authorized Agents

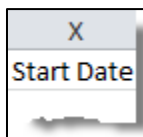
1. Determine what changes are necessary by viewing latest/current Authorized Agent roster; see the [Requesting Authorized Agent Roster Report](#) section of this guide for help on this process.
2. To amend any authorized agent information, make necessary changes to agent(s) within the template:

**Exception:** A unique Authorized Agent is identified by the combination of their Physical Address and Employer Identification Number (EIN). Therefore, if an agent's Physical Address needs to be amended, the following Upload Template fields must be updated:

- Enter an End Date for agent that no longer has the same Physical Address.



- Add agent with its new Physical Address as a new agent with a Start Date.



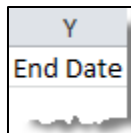
3. Once appropriate changes are made on the template, see the [Uploading Initial Authorized Agents](#) section above for uploading instructions.

## Adding New Authorized Agents

1. To add a new authorized agent, a new row with that agent's information should be added to the template.
2. Once the new agent displays on the template, see the [Uploading Initial Authorized Agents](#) section above for uploading instructions.

## Terminating Authorized Agents

1. To terminate an authorized agent, an End Date should be entered for the specific agent no longer associated with the company.



2. Once the End Date displays on the template see the [Uploading Initial Authorized Agents](#) section above for uploading instructions.

**NOTE:** Failure to upload an Agent's information and include an *End Date* when terminating an agent location results in that agent continuing to be registered as active with the state regulator.

## No Changes to Report

If there are no adjustments to a company's agents from one quarter to the next, follow the steps below to select the "No Changes to Report" button.

1. Navigate to the [NMLS Resource Center](#).
2. Click **Log in to NMLS** in the upper right corner.
3. Select the **State** context and Log in to NMLS.
4. Click the **Tasks** tab.
5. Click the **Manage Authorized Agents** link in the sub-menu or the **Manage Authorized Agents** button in the center of the screen.
6. From the *Authorized Agents Home* screen, click the **No Changes to Report** button.
7. After reading the attestation language, select the box and click the **Attest and Submit** button.

## Viewing Authorized Agent Reporting History

To view the history of both successfully submitted Authorized Agent upload files and No Changes to Report attestations, use the following steps:


1. Navigate to the [NMLS Resource Center](#).
2. Click **Log in to NMLS** in the upper right corner.
3. Select the **State** context and Log in to NMLS.
4. Click the **Composite View** tab.
5. Click the **View Company** link in the top sub-menu or the **View Company** link in the center of the screen.
6. From the *View Company* screen, click **View Authorized Agent Reporting History** from the left navigation panel.

## Requesting Authorized Agent Roster Report

To view a list of submitted authorized agents for a company, use the following steps:

1. Navigate to the [NMLS Resource Center](#).
2. Click **Log in to NMLS** in the upper right corner.
3. Select the **State** context and Log in to NMLS.
4. Click the **Reports** tab.
5. Click the **Request New Report** button.
6. Select **Authorized Agent Roster Report (Company)** from the dropdown menu and click the **Select Report** button.
7. Select check box next to *Include terminated authorized agent relationships as appropriate* and click the **Request Report** button.

**NOTE:** There is also an option to filter by date, Country and/or State/Province. If these criteria are left blank, a report with all your company's agents is produced.

8. Click the  icon to view the Authorized Agent Roster Report (Company).

**NOTE:** The webpage must be manually refreshed in order to view the report.